

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Substance Abuse and Mental Health Services Administration

Office of Applied Studies

Request for Applications (RFA) No. OA-03-003

**SAMHSA Dissertation Grants:
Support for Analyses in Substance Abuse**

Short Title: Dissertation Grants

Programmatic Guidance

Receipt Date: July 2, 2003

Please read both the Programmatic Guidance and the PHS 398 Instructions before contacting the project officer.

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Date of Issuance: April, 2003

Catalog of Federal Domestic Assistance (CFDA) No. 93.243. Authority: Title V Section 501(d) (8) of the Public Health Service Act, as amended and subject to the availability of funds.

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[Note to Applicants: To prepare a complete application, PHS Form 398 and Instructions must be used in conjunction with this document, “Programmatic Guidance.”]

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Agency

Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration.

Purpose of this Announcement

The Substance Abuse and Mental Health Services Administration (SAMHSA), Office of Applied Studies, is accepting applications for Fiscal Year 2003 grants to support dissertation research involving data analysis on substance abuse services issues. The purpose of the program is to expand the number of researchers who conduct high-quality substance abuse services research, the study of how various factors (social, financial, organizational, and personal) affect the need for and access to substance abuse treatment, the quality and cost of substance abuse treatment, and, ultimately, health and well being.

It is expected that approximately \$150,000 will be available for 5 grant (R03) awards in FY 2003. The average annual award will range from \$20,000 to \$30,000 in total costs (direct and indirect). Cost-sharing is not required in this program. Actual funding levels will depend on the availability of funds. The amount of funds available will depend on the appropriation.

Applications with proposed budgets that exceed total costs of \$30,000 per year will be returned without review.

Awards may be requested for a period not to exceed 2 years. The second year of the award will depend on the availability of funds and progress achieved.

Who Can Apply?

Students registered and in good standing at an accredited academic doctoral degree program (e.g., Ph.D., Sc.D., or Dr.P.H.), which requires a dissertation based on original research, may apply. The student must apply through a public or private nonprofit institution that will administer the grant on his or her behalf. The dissertation must examine in a quantitative way a problem or issue in the area of substance abuse. Students in such fields as sociology, psychology, biostatistics, epidemiology, economics, policy, management, medicine, nursing, public health or health services research are especially encouraged to apply.

The student is the Principal Investigator and the institution is the applicant/grantee. The doctoral student must be a citizen or a non-citizen national of the United States or an individual who has been lawfully admitted for permanent residence (*i.e.*, in possession of an Alien Registration Receipt Card) at the time of application. To be eligible, the dissertation must be a major part of the training program and be in an area of interest to SAMHSA with demonstrated relevance to the issues pertaining to substance abuse services in the United States. Requirements for the doctoral degree, other than the dissertation and any other contemporaneous requirements, **must be completed** before the funds provided can be spent. Confirmation that all requirements other than the dissertation have been completed and notification that the dissertation proposal has been accepted must be made in writing by the chairperson of the committee and submitted before initiation of the grant. SAMHSA will make the final determination of eligibility for support.

Letter of Intent

Investigators planning to submit an application in response to this funding announcement are encouraged to submit a letter of intent at least 30 days prior to the receipt date. Such notification is used by SAMHSA to anticipate and manage the projected number of applications received in response to a funding announcement. This letter is voluntary and does not obligate the person/organization to submit an application.

The letter should indicate the number and title of the funding announcement (OA-03-003, SAMHSA Dissertation Grants: Support for Analyses in Substance Abuse) and the name of the potential applicant organization, city, and State on one page.

Mail letter of intent to:

Review Branch
Division of Extramural Program Management
Office of Program Services
Substance Abuse and Mental Health Services
Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, Maryland 20857
ATTN: Letter of Intent for Funding
Announcement No. OA-03-003

Application Kit

The application kit includes the following:

1. PHS 398 Instructions Sections I – III and Selected Forms and Format Pages (*revised May, 2001 Updated: 06/28/2002*) - The forms include the Face Page (Form Page 1), Description, Performance Sites, and Key Personnel (Form Page 2), Research Grant Table of Contents (Form Page 3), Checklist, and Personal Data form pages and the Modular Budget, Biographical Sketch, and Resources format pages.

2. Programmatic Guidance. This document is the Programmatic Guidance for this grant program. (Note: Most SAMHSA Requests for Application [RFAs] also have another section, called “Part II”, which gives standard provisions for SAMHSA applications. **There is no Part II to this RFA.** Instead, all applicable standard provisions for this RFA are included in this Programmatic Guidance document.)

3. List of Offices Negotiating Indirect Cost Rates

4. State Single Point of Contact (SPOC) List

You must use all of the above documents of the kit in completing your application.

How to Get an Application Kit:

- Call or email Jane Feldman, (301) 443-5628, jfeldman@samhsa.gov or
- Download this **Programmatic Guidance, PHS 398 Instructions and Forms, and Lists** referred to above from the SAMHSA web site at www.samhsa.gov. Click on “Grant Opportunities” and then “Current Grant Funding Opportunities.”

Where to Send the Application

Send the original and 2 copies of your grant application to:

Ray Lucero
Review Branch
Division of Extramural Program Management
Office of Program Services

Substance Abuse and Mental Health Services
Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, Maryland 20857
ATTN: Announcement No. OA-03-003.

All applications MUST be sent via a recognized commercial or governmental carrier. Hand carried applications will not be accepted. Faxed or e-mailed applications will not be accepted. You will be notified by letter that your application has been received.

Be sure to type "OA-03-003, SAMHSA Dissertation Grants: Support for Analyses in Substance Abuse" and answer "Yes" in Item Number 2 on the Face Page of the application.

Application Due Date

Your application must be received by July 2, 2003.

Applications received after this date must have a proof-of-mailing date from the carrier seven days before the due date, if sent by U.S. mail, and one day before the due date if sent by overnight carrier.

Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

How to Get Help

For questions on program issues, contact:

Sarah Q. Duffy, Ph.D.
Office of Applied Studies
Substance Abuse and Mental Health Services
Administration
5600 Fishers Lane, Room 16-105

Rockville, MD 20857
(301) 443-8565
E-Mail: Sduffy@samhsa.gov

For questions on grants management issues, contact:

Stephen Hudak
Division of Grants Management
Substance Abuse and Mental Health Services
Administration/OPS
5600 Fishers Lane/ Rockwall II, 6th floor
Rockville, MD 20857
(301) 443-9666
Email: shudak@samhsa.gov

Award Criteria

Decisions to fund a grant are based on:

1. The strengths and weaknesses of the application as identified by the Review Committee (please see "Review Criteria").
2. The overall merit of the application.
3. Availability of funds.

Post Award Requirements

1. As noted above, requirements for the doctoral degree, other than the dissertation and any contemporaneous requirements, must be completed by the commencement date of the grant. This information and the approval of the dissertation proposal by a named committee of the institution must be verified in a letter of certification from the thesis chairperson and submitted to OAS before initiation of the grant.
2. Grantees are required to submit an annual progress report, as part of the continuation

process, and two copies of the completed dissertation in a form acceptable and approved by the academic institution. All submitted documents must be written in English.

Program Overview

This grant program has been developed to increase the amount of high-quality health services research focused on substance abuse issues. Health services research is the study of how various factors (social, financial, organizational, and personal) affect the need for and access to health care, the quality and cost of health care, and, ultimately, health and well-being. The research domains are individuals, families, organizations, institutions, communities and populations. Research projects may address the organization, financing and delivery of substance abuse prevention and treatment services, as well as methodological advances in health services research methods applicable to substance abuse issues. In addition, attention to substance abuse issues in racial/ethnic minority populations, women, children and families, older adults, low income groups, the homeless, those in rural settings, and the mentally ill is encouraged. Issues of special interest include the factors affecting the supply of services, the cost effectiveness of prevention and treatment services, barriers to access to care, and alternative sources of treatment such as the criminal justice system and faith-based organizations. In addition to developing a cadre of researchers capable of producing high-quality substance abuse services research, one of the goals of the program is to promote the use of data collected by SAMHSA, although the use of other relevant data sets is acceptable.

What to Include in Your Application

In order for your application to be complete, it must include the following in the order listed. Check off areas as you complete them for your application. Please follow the formatting and other requirements described in Section I.B. on page 3 of the PHS 398 Instructions.

❑ 1. FACE PAGE

Use the PHS 398 Form 1, Face Page. Please see Section I.C. of the PHS 398 Instructions, pages 5-10, for guidance. In signing the face page of the application, you are agreeing that the information is accurate and complete.

❑ 2. DESCRIPTION, PERFORMANCE SITES, AND KEY PERSONNEL

Your description must fit in the space provided on Form 2 of the PHS 398. Please see page 11 of the PHS 398 Instructions. In the first 5 lines or less of your description, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases.

❑ 3. RESEARCH GRANT TABLE OF CONTENTS

Using Form Page 3, please include page numbers for each required item as indicated on the PHS 398.

❑ 4. MODULAR BUDGET FORM

Since these projects are to be funded at less than \$250,000, please use the “Modular Budget Format Page” in the PHS 398 to report the budget. You **do not** need to submit PHS 398 Form 4 or 5. Please consult page 11 of the PHS 398 Instructions.

❑ 5. BIOGRAPHICAL SKETCH

Please follow the instructions on the

“Biographical Sketch Format Page” and section “**6. BIOGRAPHICAL SKETCH**” on page 14 of the PHS 398 Instructions. This section must contain the biographical sketch of the Principal Investigator.

☐ **6. RESOURCES**

Please consult section “**7. RESOURCES**” on page 14 of the PHS 398 Instructions.

☐ **7. RESEARCH PLAN**

The Research Plan describes your proposed project. It consists of Sections a through i. Please consult “**8. RESEARCH PLAN**” on pages 15-29 of the PHS 398 Instructions. Sections **a-d** may not be longer than 25 pages combined. If a specific section does not apply, please include it in the application and state that it is not applicable. More detailed information about Sections **a through i**, including the recommended number of pages for each section is available in the PHS 398 Instructions. The required sections are:

- ☐ **Section a** – Specific Aims
- ☐ **Section b** – Background and Significance
- ☐ **Section c** – Preliminary Studies/Progress Report
- ☐ **Section d** – Research Design and Methods
- ☐ **Section e** – Human Subjects Research

The projects we expect to fund under this grant program are secondary analyses of existing data sources. As such, applicants will check “No” on item 4 of the Face Page, claim exemption 4 from Human Subjects Regulation (please see page 21 of the PHS 398 Instructions), and will not have to discuss these issues in their applications.

Instead, applicants are expected to discuss in this section how they will secure data that may be confidential. Pursuant to section 501(n) of the Public Health Service Act (42 USC 290aa), information obtained in the course of any SAMHSA-sponsored study that identifies an individual or entity must be treated as confidential in accordance with any promises made or implied regarding the use and purposes of the data collection. Applicants using SAMHSA-collected data must describe in the Human Subjects section of the application procedures for ensuring the confidentiality of information where disclosure of individuals who supplied the data or might be identified in the data are possible. The description of the procedures should include a discussion of who will be permitted access to the information, both raw data and machine readable files, and how personal identifiers and other identifying or identifiable data will be safeguarded. Applicants using data collected by other organizations are expected to uphold the provisions of the data use agreements they have with the providers of those data.

☐ **Section f** – Vertebrate Animals

This program is not intended to fund research using vertebrate animals. Applicants should state “not applicable” in this section.

☐ **Section g** – Literature Citations

☐ **Section h** – Consortium/Contractual Arrangements

We expect that most applications will not involve consortia or contractual arrangements. However, if your application does, please consult page 29 of the PHS 398 Instructions.

☐ **Section i** – Consultants

☐ **8. CHECKLIST FORM PAGE**

Please consult page 30 of the PHS 398 Instructions.

☐ **9. PERSONAL DATA FORM PAGE**

Please consult page 30 of the PHS 398 Instructions.

☐ **10. APPENDIX**

The appendix may be used for supplemental material such as publications, or survey questionnaires, that may support the application. Please pay careful attention to page 29 of the PHS 398 Instructions.

Do not use appendices to extend or replace any of the sections of this RFA (reviewers will not consider them if you do).

☐ **11. LETTER FROM FACULTY COMMITTEE OR UNIVERSITY OFFICIAL**

A letter from the faculty committee or the university official directly responsible for supervising the dissertation research must be submitted with the grant application. The letter must certify that:

1. The grant application represents the dissertation proposal on which the proposed Principal Investigator is working;
2. A collaborative process was established between the proposed Principal Investigator and advisors in the development, review, and editing of the research application;
3. The proposed Principal Investigator has completed all requirements for the doctoral degree, except the dissertation proposal and any other contemporaneous requirements, prior to submission of the application;

4. Prior to initiation of the grant, the dissertation committee will send a letter to OAS indicating that it has approved the dissertation proposal and all other requirements for the degree, except the dissertation, have been fulfilled satisfactorily.

☐ **12. ASSURANCES AND CERTIFICATIONS**

The signature of the Official Signing for Applicant Organization on the Face Page of the application verifies a number of assurances and certifications, which are described in pages 45-52 of the PHS 398 Instructions. These assurances and certifications must be verified regardless of whether the application is exempt from Human Subjects Regulation. These assurances and certifications include:

- Human Subjects
- Research on Transplantation of Human Fetal Tissue
- Women and Minority Inclusion in Clinical Research Policy
- Inclusion of Children Policy
- Research Using Human Embryonic Stem Cells
- Vertebrate Animals
- Debarment and Suspension
- Drug-Free Workplace
- Lobbying
- Nondelinquency on Federal Debt
- Research Misconduct
- Compliance(Civil Rights, Handicapped Individuals, Sex Discrimination, Age Discrimination)
- Financial Conflict of Interest

Review Criteria

- **Your application will be reviewed and scored against the requirements described below.**

- A review committee will assign a single score for each scored application, based on the criteria below.
- In evaluating these criteria, strong emphasis is placed on the reviewers' assessment of the quality and relevance of the written proposal, and the level of guidance and support to be provided to the student by the dissertation committee.
- Some preference will be given to proposals that make use of SAMHSA-collected databases, such as the National Survey on Drug Use and Health (NSDUH, formerly known as the National Household Survey on Drug Abuse), the Alcohol and Drug Services Study (ADSS), and the Drug and Alcohol Services Information System (DASIS).
- In determining the strengths and weaknesses of the application, reviewers will pay close attention to sections **5-11** of the application.

The Criteria are:

1. **Significance and originality from a scientific or technical viewpoint:** Does this study address an important problem? If the aims of the application are achieved, how will the findings be of benefit? What will be the effects of these studies on the concepts or method that drive the substance abuse services research field?
2. **Topic:** Does the proposed project analyze data on the incidence and prevalence of substance abuse, the distribution and characteristics of substance abuse treatment facilities and services, the costs and outcomes of substance abuse treatment programs, or other issues of interest to SAMHSA?
3. **Approach:** Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate

to the aims of the project? Are adequate data available for the project or is there an adequate proposed plan to collect data required for the project? Does the applicant recognize potential problem areas and explain how they might be resolved?

4. **Environment:** Does the scientific environment in which the work will be done contribute to the probability of success? Is there evidence of institutional support? Is there sufficient evidence that the confidentiality of any data used in the study will be adequately protected?

Summary Statements on applications are prepared by SAMHSA staff using the comments of the reviewers and will be provided to the applicants.

NOTE: Although the budget for the proposed project is not a review criterion, the Review Group will be asked to comment on the appropriateness of the budget after the merits of the application have been considered.

Terms and Conditions of Support

At SAMHSA, grants and cooperative agreements must be administered in accordance with the Public Health System Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994). Federal regulations in Title 45 CFR Parts 74 and 92, generic requirements concerning the administration of grants, are applicable to SAMHSA awards. All grantees are required to comply with the audit requirements at Title 45 CFR 74.26 or 92.26, as appropriate.

Grant funds may be used only for reasonable expenses clearly allocable to and necessary for carrying out the approved activities, including direct costs, which can be specifically identified with the project, and allowable indirect costs. To

recover the allowable indirect costs of a project, it may be necessary to negotiate and establish an indirect cost rate (unless such a rate has been established for the applicant organization). The indirect cost rate for this project will be either 8% or the applicant organization's cost rate, whichever is lower. For information and assistance regarding the timing and submission of an indirect cost rate proposal, applicants should contact the appropriate office of the DHHS Division of Cost Allocation referenced in the list of "Offices Negotiating Indirect Cost Rates," included in the application kit or on the SAMHSA web site, at <http://www.samhsa.gov>.

ALLOWABLE ITEMS OF EXPENDITURE

Allowable costs include, but are not necessarily limited to, the following, which are subject to applicable cost principles:

- The Principal Investigator's salary.
- Direct project expenses such as travel, data purchasing, data processing, and supplies.
- Fees for maintaining matriculation or other fees imposed on those preparing dissertations, provided the fees are required of all students of similar standing, regardless of the source of funding.

FUNDING RESTRICTIONS

Grant funds may **not** be used to:

- Provide salary support for the dissertation committee.
- Buy, build, alter or renovate a facility to house any part of the project.
- Provide services to incarcerated populations (defined as those persons in jail, prison, detention facilities or in custody where they are not free to move about in the community.)
- Support any lease arrangements in association with the proposed project

utilizing HHS funds beyond the project period nor may the portion of the space.

Furthermore, no portion of any space leased with HHS funds may be used for purposes not supported by the program.

REPORTING REQUIREMENTS

Interim and final progress reports and financial status reports will be required as specified in the PHS Grants Policy Statement, and must be submitted by the grantee.

LOBBYING PROHIBITIONS

Appropriated funds, other than for normal and recognized executive-legislative relationships, may not be used for lobbying the Congress or State legislatures. Specifically, Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of information designed to support or defeat legislation pending before the Congress or State legislatures. This includes "grass roots" lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation, or to urge those representatives to vote in a particular way. This prohibition applies not only to Federal agencies, but also prohibits grantees and contractors of Federal agencies from using Federal funds to conduct such activities. In addition to "grass roots" lobbying, Federal grantees are prohibited from using Federal funds to conduct any direct lobbying activities. This includes any activities designed to influence legislation and/or appropriations pending before the Congress or any State legislature.

HEALTHY PEOPLE 2010

The Department of Health and Human Services (DHHS) is committed to achieving the health promotion and disease prevention objectives of Healthy People 2010, a DHHS-led national activity for setting health priorities. SAMHSA is the co-lead agency for Objective 18, Mental Health and Mental Disorders; and Objective 26, Substance Abuse. To learn more about these objectives, applicants may check the web site (<http://web.health.gov/healthypeople/>) or contact the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402-9325 (Telephone: 202-512-1800) to order the books or CD-ROM: Healthy People 2010: Understanding and Improving Health, Stock No. 017-001-00550-9; Healthy People 2010: Volumes 1 and 2, Stock No. 017-001-00547-9; Healthy People 2010: Tracking Healthy People 2010, Stock No. 017-001-00548-7; Healthy People 2010 on CD-ROM, Stock No. 017-001-00549-5.

INTERGOVERNMENTAL REVIEW (E.O. 12372)

Executive Order 12372, as implemented through DHHS regulations at 45 CFR Part 100, sets up a system for State and local government review of applications for Federal financial assistance. Applicants (other than federally recognized Indian tribal governments) should contact the State's Single Point of Contact (SPOC) as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. A current listing of SPOCs is included in the application kit, or can be accessed at the Office of Management and Budget Web site <http://www.whitehouse.gov/omb>. The SPOC should send any State review process recommendations to the following address:

Review Branch
Division of Extramural Program Management

Office of Program Services
Substance Abuse and Mental Health Services Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, MD 20857
ATTN: SPOC – Program Funding Number:
OA-03-003.

The due date for State process recommendations is no later than 60 days after the deadline date for the receipt of applications. SAMHSA does not guarantee to accommodate or explain SPOC comments that are received after the 60-day cut-off.

PROMOTING NONUSE OF TOBACCO

All grant, cooperative agreement, and contract recipients are strongly encouraged to provide a smoke-free workplace and to promote the non-use of all tobacco products. In addition, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

POPULATION INCLUSION REQUIREMENT

In accordance with Sec. 602 Part 80-Nondiscrimination Under Programs Receiving Federal Assistance through the Department of Health and Human Services ...TITLE VI of the Civil Rights Act of 1964, SAMHSA requires that applicants ensure that no person shall, on the basis of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity receiving Federal financial assistance from the Department of Health and Human Services. In

addition, the Age Discrimination Act of 1975 (42-U.S.C. Sections 6101-6107) prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance and the Americans with Disabilities Act of 1990, Public Law 101-336, provides for the protection of the rights of persons with disabilities.

It may be appropriate to identify a particular target population. However, in accordance with the laws, SAMHSA requires that applicants make services available to all populations in the target area, regardless of age, disability, race/ethnicity, socioeconomic status, sexual orientation, and gender, where feasible and appropriate. Applicants must clearly define the population to be served. All components of the project should reflect the needs and demographics of the targeted population. The project's design, intervention strategies and staff qualifications must ensure appropriateness and competence to address the needs of all participants.

When evaluating projects using a common intervention with populations differing by race/ethnicity, gender, or developmental age group, it is important to ascertain whether the intervention is differentially effective for the different populations. Such statistical analyses should be done whenever the size of the sub-population(s) can support such analysis. The results should be reported to include information about as many demographics as feasible.